

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 20750-048US1	Application No. 10/576,849
Information Disclosure Statement by Applicant (Use several sheets if necessary)		Applicant Brian Smith, et al.	
		Filing Date April 9, 2007	Group Art Unit 1624
(37 CFR §1.98(b))			

U.S. Patent Documents

Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
/B.C./	A1	US 3652543	3/28/72	Hoegerle	540	594	
/B.C./	A2	US 3716639	2/13/73	Hoegerle et al.	514	217.01	
/B.C./	A3	US 3795683	3/05/74	Brossi et al.	540	586	
/B.C./	A4	US 4108989	8/22/78	Holden	514	217.01	
/B.C./	A5	US 4111957	9/05/78	Holden et al.	540	594	
/B.C./	A6	US 4210749	7/01/80	Shetty	540	594	
/B.C./	A7	US 4210729	7/01/80	Bola V. Shetty	525	247	
/B.C./	A8	US 4233217	11/11/80	Shetty	540	594	
/B.C./	A9	US 4477378	10/16/84	Gold et al.	540	595	
duplicate	A10	US 5367685	2/07/05	Powell et al.			
/B.C./	A11	US 4762845	8/09/88	Chu et al.	514	312	
/B.C./	A12	US 4988690	1/29/91	Effland et al.	514	217.01	
/B.C./	A13	US 5015639	5/14/91	Berger et al.	514	210.21	
/B.C./	A14	US 5178786	1/12/93	Jahnke et al.	252	77	
/B.C./	A15	US 5387685	7/16/93	Powell et al.	546	143	
/B.C./	A16	US 5275915	1/04/94	Kojima et al.	430	264	
/B.C./	A17	US 5412119	5/02/95	Brussee et al.	549	419	
/B.C./	A18	US 5422355	6/06/95	White et al.	514	311	
/B.C./	A19	US 5691362	11/25/97	McCormick et al.	514	339	
/B.C./	A20	US 5750520	5/12/98	Danilewicz et al.	514	212	
/B.C./	A21	US 5856503	1/05/99	Aebi et al.	548	207	
/B.C./	A22	US 5861393	1/19/99	Danilewicz et al.	514	213	
/B.C./	A23	US 5925651	7/20/99	Hutchinson	514	307	
/B.C./	A24	US 5939415	8/17/99	Laufer et al.	514	224.2	
/B.C./	A25	US 5942535	8/24/99	Laufer et al.	514	413	
/B.C./	A26	US 5958943	9/28/99	Laufer et al.	514	299	
/B.C./	A27	US 6087346	7/11/00	Glennon et al.	514	65	

Examiner Signature /Brenda Coleman/	Date Considered 09/23/2008
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 20750-048US1	Application No. 10/576,849
Information Disclosure Statement by Applicant (Use several sheets if necessary)		Applicant Brian Smith, et al.	
		Filing Date April 9, 2007	Group Art Unit 1624
(37 CFR §1.98(b))			

U.S. Patent Documents

Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
	A28	US 6218385	4/17/01	Adam et al.			
/B.C./	A29	US 6218385	4/17/01	Geo Adam et al.	514	217.01	
/B.C./	A30	US 6900313	5/31/05	Wasserscheid et al.	544	59	
/B.C./	A31	US 6953787	10/11/05	Smith et al.	514	212.02	
/B.C./	A32	US 6972295	12/06/05	Hagmann et al.	514	345	
/B.C./	A33	2007/0275949	11/29/07	Smith et al.	514	217.02	

Foreign Patent Documents or Published Foreign Patent Applications

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
** /B.C./	A34	DE 1944121	3/19/70	Germany				
** /B.C./	A35	CH 500194	1/29/71	Switzerland				
/B.C./	A36	GB 1221324	2/03/71	United Kingdom				
/B.C./	A37	GB 1225053	3/17/71	United Kingdom				
/B.C./	A38	GB 1268243	3/22/72	United Kingdom				
** /B.C./	A39	NL 7807819	7/21/78	Netherlands				
/B.C./	A40	EP 0007070	1/23/80	Europe				
/B.C./	A41	CA 1090797	12/02/80	Canada				
/B.C./	A42	GB 1599705	10/07/81	United Kingdom				
/B.C./	A43	EP 0080779 A1	6/08/83	Europe				
** /B.C./	A44	DE 3315106 A1	11/03/83	Germany				
/B.C./	A45	EP 0096838 A1	12/28/83	Europe				
/B.C./	A46	EP 0161350 A1	11/21/85	Europe				
/B.C./	A47	EP 0174118 A2	3/12/86	Europe				
/B.C./	A48	EP 0285287 A3	3/23/87	Europe				
/B.C./	A49	EP 0285919	10/12/88	Europe				
/B.C./	A50	WO 8807858	10/20/88	WIPO				

Examiner Signature /Brenda Coleman/	Date Considered 09/23/2008
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

**** Structures only**

Substitute Disclosure Form (PTO-1449)

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 20750-048US1	Application No. 10/576,849
Information Disclosure Statement by Applicant (Use several sheets if necessary)		Applicant Brian Smith, et al.	
		Filing Date April 9, 2007	Group Art Unit 1624
(37 CFR §1.98(b))			

Foreign Patent Documents or Published Foreign Patent Applications

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
/B.C./	A51	EP 0331130	09/06/89	Europe				
/B.C./	A52	WO 9119698	12/26/91	WIPO				
/B.C./	A53	WO 9300094	1/07/93	WIPO				
/B.C./	A54	WO 93/03015	2/18/93	WIPO				
** /B.C./	A55	JP 5339263	12/21/93	Japan				
** /B.C./	A56	JP 06298746	10/25/94	Japan				
/B.C./	A57	WO 9513274	5/18/95	WIPO				
/B.C./	A58	CA 2197789	8/16/95	Canada				
** /B.C./	A59	WO 9604271	2/15/96	WIPO				
** /B.C./	A60	WO 9605194	2/22/96	WIPO				
** /B.C./	A61	JP 08134048	5/28/96	Japan				
/B.C./	A62	WO 9633993	10/31/96	WIPO				
** /B.C./	A63	JP 09030960	2/04/97	Japan				
** /B.C./	A64	JP 90987258	3/31/97	Japan				
/B.C./	A65	WO 97/24364	7/10/97	WIPO				
/B.C./	A66	WO 9806701	2/19/98	WIPO				
/B.C./	A67	WO 9840385	9/17/98	WIPO				
/B.C./	A68	WO 99/24411	5/20/99	WIPO				
duplicate /B.C./	A69	EP 0987235 A1	2/22/00	Europe				
/B.C./	A70	EP 1074549 A2	2/07/01	Europe				
/B.C./	A71	WO 0240471	5/23/02	WIPO				
/B.C./	A72	WO 0248124	6/20/02	WIPO				
** /B.C./	A73	WO 02074746	9/26/02	WIPO				
/B.C./	A74	WO 03000663	1/03/03	WIPO				
/B.C./	A75	WO 2003/027068	4/03/03	WIPO				
/B.C./	A76	WO 03/062205	7/31/03	WIPO				
/B.C./	A77	WO 2003/062392	7/31/03	WIPO				

Examiner Signature /Brenda Coleman/	Date Considered 09/23/2008
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 20750-048US1	Application No. 10/576,849
Information Disclosure Statement by Applicant (Use several sheets if necessary)		Applicant Brian Smith, et al.	
		Filing Date April 9, 2007	Group Art Unit 1624
(37 CFR §1.98(b))			

Foreign Patent Documents or Published Foreign Patent Applications

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
/B.C./	A78	WO 03086306	10/23/03	WIPO				
/B.C./	A79	EP 987235	12/03/03	Europe				
/B.C./	A80	WO 04037788	5/06/04	WIPO				
/B.C./	A81	WO2005/003096A1	01/13/2005	PCT				
/B.C./	A82	WO2005/019179A2	03/03/2005	PCT				
/B.C./	A83	WO2005/042490A1	05/12/2005	PCT				
/B.C./	A84	WO 2006/013209	2/09/2006	WIPO				
** /B.C./	A85	WO 2006/043710	4/27/2006	WIPO				
/B.C./	A86	WO2006/069363A2	06/29/06	WIPO				
/B.C./	A87	WO2006/071740A2	07/06/06	WIPO				

Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
/B.C./	A88	Barnes, T. R., "Pharmacological Strategies for Relapse Prevention in Schizophrenia", <i>Psychiatry</i> 3(10): 37-40 (2004)
/B.C./	A89	Chahal et al., IDdb Meeting Report <u>2000</u> , May 17-18
/B.C./	A90	Chang et al., "Dopamine receptor binding properties of some 2, 3, 4, 5-tetrahydro-1H-3-benzazepine-7-ols with non-aromatic substituents in the 5-position", <i>Bioorg. Med. Chem. Lett.</i> 2:399-402 (1992)
/B.C./	A91	Deady et al., "Synthesis of some tetrahydro-2- and 3-benzazepines, and of hexahydro-3-benzazocine", <i>Journal of the Chemical Society, Perkins Transactions</i> 1, 1973 pp. 782-783
/B.C./	A92	Di Chiara G., (2002) <i>Behavioural Brain Research</i> , 137: 75-114
/B.C./	A93	Di Chiara et al., "Reward System and Addiction: What Dopamine Does and Doesn't Do", <i>Current Opinion in Pharmacology</i> 7:69-76 (2007)
	A94	Diagnostic and Statistical Manual of Mental Disorders, 4th edition, Text Revision, Washington, DC, American Psychiatric Association, 2000*
/B.C./	A95	Di Matteo et al., "Role of 5-HT _{2C} Receptors in the Control of Central Dopamine Function", <i>Trends in Pharmacological Sciences</i> 22(5):229-232 (2001)
/B.C./	A96	Flannery-Schroeder, E. C., "Reducing Anxiety to Prevent Depression", <i>Am. J. Prev. Med.</i> 31(6S1):S136-S142 (2006)
/B.C./	A97	Fuchs et al., "Total synthesis of (+/-)-lennoxamine and (+/-)-aphanorphone by intramolecular electrophilic aromatic substitution reactions of 2-amidoacroleins", <i>Organic Letters</i> , <u>2001</u> , pp. 3923-3925, 3(24) American Chemical Society
/B.C./	A98	Gallant et al., (1967) <i>Current Therapy Research</i> 9(11):579-81

Examiner Signature /Brenda Coleman/	Date Considered 09/23/2008
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

**** Structures only**

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 20750-048US1	Application No. 10/576,849
Information Disclosure Statement by Applicant (Use several sheets if necessary)		Applicant Brian Smith, et al.	
		Filing Date April 9, 2007	Group Art Unit 1 624

(37 CFR §1.98(b))

Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
/B.C./	A99	Gardent et al., "Sur quelques de l' amino-2-bromo-4 1H benzazepine-3 et de ses derives", Bull Soc. Chim. France 2:600-605 (1968)
/B.C./	A100	Gerace et al., "Predictors of Weight Increases over 7 Years in Fire Fighters and Paramedics", <i>Preventive Medicine</i> 94:593-600 (1996)
/B.C./	A101	Gobert et al., (2000) <i>Synapse</i> 36: 205-221
/B.C./	A102	Gombar et al., "Pharmacokinetics of a series of 6-chloro-2, 3, 4, 5-tetrahydro-3-substituted-1H-3-benzazepines in rats", <i>Drug Metab. Disposition</i> 16:367-372 (1988)
	A103	Greene et al., <i>Protective Groups in Organic Synthesis</i> , 2 nd Ed., Wiley and Sons, NY (1991)
/B.C./	A104	Halford et al., "Serotonergic Drugs: Effects on Appetite Expression and Use for the Treatment of Obesity", <i>Drugs</i> 67(1):27-55 (2007)
/B.C./	A105	Halford, J.C.G., "Obesity Drugs in Clinical Development", <i>Current Opinion in Investigational Drugs</i> 7(4):312-318 (2006)
** /B.C./	A106	Hassine-Comiac et al., "Preparation et proprietes d'aldehydes dans la serie de la benzazepine-3", Bull Soc. Chim. France 11:3985-3992 (1971)
** /B.C./	A107	Hazebrucq, "Acces a des 1-H, tetrahydro-2, 3, 4, 5 benzazepines-3 one-1 et a des hexahydroimidazo isoquinolines", <i>Ann. Chim.</i> (1966) pp. 221-254
/B.C./	A108	Hester et al., (1968) <i>J. Med. Chem.</i> 11(1): 101
/B.C./	A109	Higgins et al., (2003) <i>European Journal of Pharmacology</i> , 480: 151
/B.C./	A110	Hitzig, P., (1994) <i>Journal of Substance Abuse Treatment</i> , 11(5): 489
/B.C./	A111	Im et al., (2003) <i>Molecular Pharmacology</i> , 64: 78-84
/B.C./	A112	Jandacek, R.J., "APD-356 (Arcna)", <i>Current Opinion in Investigational Drugs</i> 6(10):1051-1056 (2005)
/B.C./	A113	Jenck et al., (1998) <i>European Neuropsychopharmacology</i> 8: 161
/B.C./	A114	Jensen et al., "Potential Role of New Therapies in Modifying Cardiovascular Risk in Overweight Patients with Metabolic Risk Factors", <i>Obesity</i> 14 (Suppl. 3):143S-149S (2006)
/B.C./	A115	Karasu et al., (2000) Practice Guideline for the Treatment of Patients with Major Depressive Disorder
/B.C./	A116	Koplan et al., "Preventing Childhood Obesity: Health in the Balance, Executive Summary", http://www.nap.edu/catalog/11015.html , 41 pages (2005)
/B.C./	A117	Krull, O. and Wunsh, B., "Synthesis and Structure/NMDA Receptor Affinity Relationships of 1-Substituted Tetrahydro-3-benzazepines", <i>Bioorganic and Medicinal Chemistry</i> , 12, pp. 1439-1451, 2004.
/B.C./	A118	Ladd et al., "Synthesis and dopaminergic binding of 2-aryldopamine analogues: phenethylamines, 2-benzazepines, and 9-(Aminomethyl) fluorenes", <i>J. Med. Chem.</i> , Vol. 29:1904-1912 (1986)
/B.C./	A119	Lam RW, Levitt AJ (1999) (eds) Canadian Consensus Guidelines for the Treatment of Seasonal Affective Disorder, Clinical & Academic Publishing, Vancouver, BC, Canada
/B.C./	A120	Lennon et al., "Azabenzocycloheptenones Part XVIII. Amines and amino-ketones of the tetrahydro-3-benzazepine-1-one series", <i>J. Chem. Soc. Perkin Transacts.</i> (1975) 7:622-626
/B.C./	A121	Linda D. Williams, <i>Chemistry Demystified</i> 123 (2003)

Examiner Signature /Brenda Coleman/	Date Considered 09/23/2008
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

**** Structures only**

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 20750-048US1	Application No. 10/576,849
Information Disclosure Statement by Applicant (Use several sheets if necessary)		Applicant Brian Smith, et al.	
		Filing Date April 9, 2007	Group Art Unit 1624
(37 CFR §1.98(b))			

Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
/B.C./	A122	Macdonald et al., "Design and synthesis of trans-3-(2-(4-((3-(3-(5-methyl-1,2,4-oxadiazolyl))-phenyl)carboxamido)cyclohexyl)ethyl)-7-methylsulfonyl-2,3,4,5-tetrahydro-1H-3-benzazepine (SB-414796): A Potent and selective dopamine D _{sub} 3 Receptor Antagonist", J. Med. Chem. 46:4952-4964 (2003) American Chemical Society
/B.C./	A123	Moline et al., (2001) Expert Consensus Guideline Series – Treatment of Depression in Women 2001, March: 112-113
/B.C./	A124	Müller et al., (2006) Trends in Pharmacological Sciences, 27(9): 455 (Abstract)
	A125	National Institute on Drug Abuse, Proceedings of the 41st Annual Scientific Meeting (1979) pp. 356-401
/B.C./	A126	Navarro-Vazquez et al., "A study of aryl radical cyclization in enaminone esters", J. Org. Chem. 67:3213-20 (2002)
/B.C./	A127	Niendam et al., "Neurocognitive Performance and Functional Disability in the Psychosis Prodrome", <i>Schizophrenia Research</i> 84:100-111 (2006)
/B.C./	A128	Orioto et al., "Benzolactams—I: Alkylation of 1,2,4,5-tetrahydro-3-methyl-3h-3-benzazepin-2-one with sodium hydride and alkyl halide", <i>Tetrahedron</i> 36:1017-1021 (1980) Pergamon Press Ltd.
/B.C./	A129	Orito et al. (Hokkaido Daigaku Kogakubu Kenkyu Hokoku (1979), (96), 41-44
/B.C./	A130	Orito et al., "Total synthesis of pseudo type of protopine alkaloids", <i>Heterocycles</i> 14(1) 1980
/B.C./	A131	Pauvert et al., "Silver nitrate-promoted ring enlargement of 1-tribromomethyl-1,2-dihydro-and 1-tribromomethyl-1,2,3,4-tetrahydro-isoquinoline derivatives: application to the synthesis of the anti-anginal zalebradine", <i>Tetrahedron Letters</i> 44:4203-4206 (2003) Pergamon Press Ltd.
/B.C./	A132	Pawan et al., (1971) <i>British Journal of Pharmacology</i> , 41(2): 416P-417P (CAPLUS abstract)
/B.C./	A133	Pecherer et al., "The Synthesis of Some 7- and 7,8-substituted 2,3,4,5-tetrahydro-1H-3benzazepines", <i>J. Heterocyclic Chemistry</i> 8(5):779-783 (1971)
/B.C./	A134	Perry et al., "Prospective study of risk factors for development of non-insulin dependent diabetes in middle aged British men", <i>BMJ</i> (1995) 310:560-564
/B.C./	A135	Piesla et al., (2001) <i>Schizophrenia Research</i> 49: 95
/B.C./	A136	Porras et al., (2002) <i>Neuropsychopharmacology</i> 26: 311-324
/B.C./	A137	Prous Science Integrity entry 156186 1954
/B.C./	A138	Prous Science Integrity entry 354056 2003
/B.C./	A139	Rothman R.B., (1995) <i>Journal of Substance Abuse Treatment</i> , 12(6): 449
/B.C./	A140	Schlademan et al., "Synthesis of oxo- and 1-hydroxy-azobenzocycloalkanes", <i>J. Chem. Soc. Perkin Transact.</i> (1972) 2:213-215
/B.C./	A141	Schaffner et al., "Preventing Severe Mental Illnesses – New Prospects and Ethical Challenges", <i>Schizophrenia Research</i> 51:3-15 (2001)
/B.C./	A142	Smith et al., "Discovery and SAR of New Benzazepines as Potent and Selective 5-HT _{2C} Receptor Agonists for the Treatment of Obesity", <i>Bioorganic & Medicinal Chemistry Letters</i> 15(5):1467-1470 (2005)

Examiner Signature /Brenda Coleman/	Date Considered 09/23/2008
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 20750-048US1	Application No. 10/576,849
Information Disclosure Statement by Applicant (Use several sheets if necessary)		Applicant Brian Smith, et al.	
		Filing Date April 9, 2007	Group Art Unit 1 62 4
(37 CFR §1.98(b))			

Other Documents (include Author, Title, Date, and Place of Publication)		
Examiner Initial	Desig. ID	Document
/B.C./	A143	Smith, B. M. et al., "Discovery and Structure – Activity Relationship of (1 <i>R</i>)-8-Chloro-2,3,4,5-tetrahydro-1-methyl-1 <i>H</i> -3-benzazepine (Lorcaserin), a Selective Serotonin 5-HT _{2c} Receptor Agonist for the Treatment of Obesity", [retrieved on <u>12/21/07</u>]. Retrieved from the Internet. <URL: http://pubs.acs.org/journals/jmcuar/index.html >.
/B.C./	A144	Tietz et al., "Efficient synthesis of 2, 3, 4, 5-tetrahydro-1 <i>H</i> -3-benzazepines by intramolecular Heck reaction", <i>Synthesis</i> (1993) 9:876-880
/B.C./	A145	Tietze et al., "Efficient synthesis of 2,3,4,5-tetrahydro-1 <i>H</i> -3-benzazepines by intramolecular heck reaction", Institut für Organische Chemie der Universität Göttingen, Tammannstraße 2, D-3400 Göttingen, Germany, received January 29, 1993.
/B.C./	A146	Tsuang et al., "Towards the Prevention of Schizophrenia", <i>Biol. Psychiatry</i> 48:349-356 (2000).
/B.C./	A147	Vink et al., "Risk Factors for Anxiety and Depression in the Elderly: A Review", <i>J. Affect. Disord.</i> , doi:10.1016/j.jad.2007.06.005, 16 pages (2007).
/B.C./	A148	Wise, R.A., (2000) <i>Neuron</i> , 26: 27-33
/B.C./	A149	Wisner et al., (2002) <i>N. Engl. J. Med.</i> , 347(3): 194-199
/B.C./	A150	Yoshinaga et al., "Prevention of Mildly Overweight Children from Development of More Overweight Condition", <i>Preventive Medicine</i> 38:172-174 (2004)
/B.C./	A151	International Search Report dated February 2,, 2005 for International Application No. PCT/US2004/034917.

Examiner Signature /Brenda Coleman/	Date Considered 09/23/2008
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	